

BEST AVAILABLE COPY

241508949
PCT/CA 037 00478

REC'D 24 APR 2003

WIPO

PCT

PA 945311

THE UNITED STATES OF AMERICA

TO ALL TO WHOM THESE PRESENTS SHALL COME:

UNITED STATES DEPARTMENT OF COMMERCE

United States Patent and Trademark Office

January 10, 2003

THIS IS TO CERTIFY THAT ANNEXED HERETO IS A TRUE COPY FROM THE RECORDS OF THE UNITED STATES PATENT AND TRADEMARK OFFICE OF THOSE PAPERS OF THE BELOW IDENTIFIED PATENT APPLICATION THAT MET THE REQUIREMENTS TO BE GRANTED A FILING DATE UNDER 35 USC 111.

APPLICATION NUMBER: 60/370,205

FILING DATE: April 05, 2002

**PRIORITY
DOCUMENT**

SUBMITTED OR TRANSMITTED IN
COMPLIANCE WITH RULE 17.1(a) OR (b)

By Authority of the
COMMISSIONER OF PATENTS AND TRADEMARKS



W. Montgomery
W. MONTGOMERY
Certifying Officer

4-8-02

APPROV

PTO/SB16 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PROVISIONAL APPLICATION FOR PATENT COVER SHEET

This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c).

Express Mail Label No. **EL833456979US**

04/05/02

04/05/02

04/05/02

INVENTOR(S)

Given Name (first and middle (if any))	Family Name or Surname	Residence (City and either State or Foreign Country)
Frank	Londry	Peterborough, Canada

☒ Additional inventors are being named on the 1 separately numbered sheets attached hereto

TITLE OF THE INVENTION (500 characters max)

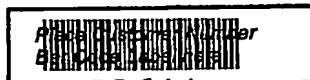
Fragmentation of Ions by Resonant Excitation in a Low Pressure Ion Trap

Direct all correspondence to:

CORRESPONDENCE ADDRESS

☒ Customer Number **23644**

Type Customer Number here



23644

PATENT TRADEMARK OFFICE

OR
☐ Firm or
Individual Name

Address

Address

City

State

O

ZIP

Country

Telephone

Fax

ENCLOSED APPLICATION PARTS (check all that apply)

☒ Specification Number of Pages **27**

☐ CD(s), Number

☒ Drawing(s) Number of Sheets **7**

☐ Other (specify)

☐ Application Data Sheet. See 37 CFR 1.76

METHOD OF PAYMENT OF FILING FEES FOR THIS PROVISIONAL APPLICATION FOR PATENT

☐ Applicant claims small entity status. See 37 CFR 1.27.

☐ A check or money order is enclosed to cover the filing fees

☒ The Commissioner is hereby authorized to charge filing fees or credit any overpayment to Deposit Account Number: **10-0435**

☐ Payment by credit card. Form PTO-2038 is attached.

FILING FEE
AMOUNT (\$)

\$160.00

The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government.

☐ No.

☐ Yes, the name of the U.S. Government agency and the Government contract number are:

Respectfully submitted,

SIGNATURE

Alice O. Martin

Date

4/5/02

TYPED or PRINTED NAME

Alice O. Martin

REGISTRATION NO.

(if appropriate)

Docket Number:

35,601

MDS/93

TELEPHONE

312-214-8316

USE ONLY FOR FILING A PROVISIONAL APPLICATION FOR PATENT

This collection of information is required by 37 CFR 1.61. The information is used by the public to file (and by the PTO to process) a provisional application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 8 hours to complete, including gathering, preparing, and submitting the complete provisional application to the PTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Box Provisional Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

PROVISIONAL APPLICATION COVER SHEET
Additional Page

PTO/SB/16 (02-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Docket Number

INVENTOR(S)/APPLICANT(S)

Given Name (first and middle (if any))	Family or Surname	Residence (City and either State or Foreign Country)
Bruce	Collings	Bradford, Canada
Bill	Stott	King City, Canada

Number 1 of 1

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Express Mail No. EL 833456979 US

Date: April 5, 2002

UNITED STATES PATENT AND TRADEMARK OFFICE

PROVISIONAL PATENT APPLICATION

TITLE: FRAGMENTATION OF IONS BY RESONANT EXCITATION
IN A LOW PRESSURE ION TRAP

INVENTOR: FRANK LONDREY
BRUCE COLLINGS
BILL STOTT

ATTORNEY: ALICE O. MARTIN
BARNES & THORNBURG
2600 CHASE PLAZA
10 SOUTH LASALLE STREET
CHICAGO, ILLINOIS 60603

1-1

205040-50204E09

FRAGMENTATION OF IONS BY RESONANT EXCITATION IN A LOW PRESSURE ION TRAP

Field of Invention

The invention relates to mass spectrometers, and more particularly to a mass spectrometer capable of fragmenting ions with relatively high discrimination.

Background of Invention

Tandem mass spectrometry techniques typically involve the detection of ions that have undergone physical change(s) in a mass spectrometer. Frequently, the physical change involves dissociating or fragmenting a selected precursor or parent ion and recording the mass spectrum of the resultant fragment or child ions. The information in the fragment ion mass spectrum is often a useful aid in elucidating the structure of the precursor or parent ion. For example, the general approach used to obtain a mass spectrometry/mass spectrometry (MS/MS or MS²) spectrum is to isolate a selected precursor or parent ion with a suitable m/z analyzer, to subject the precursor or parent ion to energetic collisions with a neutral gas in order to induce dissociation, and finally to mass analyze the fragment or child ions in order to generate a mass spectrum.

An additional stage of MS can be applied to the MS/MS scheme outlined above, giving MS/MS/MS or MS³. This additional stage can be quite useful to elucidate dissociation pathways, particularly if the MS² spectrum is very rich in fragment ion peaks or is dominated by primary fragment ions with little structural information. MS³ offers the opportunity to break down the primary fragment ions and generate additional or secondary fragment ions that often yield the information of interest. Indeed, the technique can be carried out n times to provide an MSⁿ spectrum.

Ions are typically fragmented or dissociated in some form of a collision cell where the ions are caused to collide with an inert gas. Dissociation is induced either because the ions are injected into the cell with a high axial energy or by application

of an external excitation. See, for example, WO 00/33350 published June 8th, 2000 by Douglas et al..

Douglas discloses a triple quadrupole mass spectrometer wherein the middle quadrupole is configured as a relatively high pressure collision cell in which ions are trapped. This offers the opportunity to both isolate and fragment a chosen ion using resonant excitation techniques. The problem with the Douglas system is that the ability to isolate and fragment a specific ion within the collision cell is relatively low. To compensate for this, Douglas uses the first quadrupole as a mass filter to provide high resolution in the selection of precursor ions, which enables an MS² spectrum to be recorded with relatively high accuracy. However, to produce an MS³ (or higher) spectrum, isolation and fragmentation must be carried out in the limited-resolution collision cell.

Summary of Invention

Generally speaking, the invention provides a method and apparatus for fragmenting ions in a trap with a relatively high degree of resolution. This is accomplished by maintaining an inert or background gas in the trap at a pressure lower than that of conventional collision cells. The pressure on the trap is thus on the order of 10⁻⁴ Torr or less, and preferably on the order of 10⁻⁵ Torr. The trapped ions are resonantly excited at a relatively low excitation amplitude, preferably less than 250 mV_(0-pk), for a relatively extended period of time, preferably exceeding 25 ms. Ions can thus be selectively dissociated or fragmented with a relatively high discrimination at a relatively high fragmentation efficiency. For example, a discrimination of at least about 1 m/z was obtained at m/z = 609.

According to one aspect of the invention a method is provided for analyzing a substance. The method includes (a) providing an ion trap having a background gas pressure of less than approximately 9 x 10⁻⁵ Torr; (b) ionizing the substance to provide a stream of ions; (c) trapping at least a portion of the ion stream in the trap; (d)

resonantly exciting selected trapped ions in order to promote collision-induced dissociation of the selected ions; and (e) thereafter mass analyzing the trapped ions to generate a mass spectrum. The resonant excitation is preferably accomplished by subjecting the ions to an alternating potential having a maximum amplitude of less than approximately 100 mV_(0-pk) for an excitation period exceeding approximately 25 ms.

According to another aspect of the invention a method of fragmenting ions is provided. The method includes (a) trapping ions in an ion trap by subjecting the ions to an RF alternating potential, the trap being disposed in an environment in which a background gas is present at a pressure on the order of 10⁻⁵ Torr; and (b) resonantly exciting trapped ions of a selected m/z value by applying to at least one set of poles straddling the trapped ions an auxiliary alternating excitation signal having an amplitude of less than approximately 100 mV_(0-pk) for a period exceeding approximately 25 milliseconds, to thereby promote collision-induced dissociation of the selected ions.

According to another aspect of the invention a method of mass analyzing a stream of ions to obtain an MS² spectrum is provided. The method includes: (a) subjecting a stream of ions to a first mass filter step, to select precursor ions having a mass-to-charge ratio in a first desired range; (b) trapping the precursor ions in a linear ion trap by subjecting the ions to an RF alternating potential; (c) resonantly exciting the trapped precursor ions by subjecting them to an auxiliary alternating potential having a maximum amplitude of 100 mV_(0-pk) for an excitation period exceeding approximately 25 milliseconds under a background gas pressure on the order of 10⁻⁵ Torr, to thereby generate fragment ions; and (d) mass analyzing the trapped ions to generate a mass spectrum.

According to yet another aspect of the invention a method of mass analyzing a stream of ions to obtain an MS³ spectrum is provided. The method includes: (a) subjecting a stream of ions to a first mass filter step, to select precursor ions having a

mass-to-charge ratio in a first desired range; (b) fragmenting the precursor ions in a collision cell, to thereby produce a first generation of fragment ions; (c) trapping any un-dissociated precursor ions and the first generation of fragment ions in a linear ion trap by subjecting the ions to an RF alternating potential, subjecting the trapped ions to a second mass filter step to thereby isolate ions having an m/z value(s) in a second desired range, and resonantly exciting at least a portion of the first generation ions by subjecting them to an auxiliary alternating potential having a maximum amplitude of $100 \text{ mV}_{(0-pk)}$ for an excitation period exceeding approximately 25 milliseconds under a background gas pressure on the order of 10^{-5} Torr, to thereby generate a second generation of fragment ions; and (d) mass analyzing the trapped ions to generate a mass spectrum.

According to still another aspect of the invention a mass spectrometer is provided. The mass spectrometer includes a linear ion trap. At least one set of poles straddle at least a portion of trapped ions: the background gas in the trap is at a pressure of less than approximately 9×10^{-5} Torr. Means are provided for introducing ions into the trap. An alternating voltage source applies to at least one of set of poles a resonant excitation signal having an amplitude of less than approximately $100 \text{ mV}_{(0-pk)}$ for a period exceeding approximately 25 milliseconds, thereby to promote collision-induced dissociation of selected ions. Means are also provided for mass analyzing the trapped ions to generate a mass spectrum.

According to yet another aspect of the invention, a quadrupole mass spectrometer is provided which includes first, second and third quadrupole rod sets arranged in linear formation. The first quadrupole rod set is configured for isolating selected ions. The second quadrupole rod set is enclosed within a collision chamber having a background gas pressure significantly higher than the first and second rod sets. The third quadrupole rod set is configured as a linear ion trap, and includes at least one set of poles straddling at least a portion of trapped ions. The trap has a background gas pressure of less than approximately 9×10^{-5} Torr. An alternating

voltage source is provided for applying to at least one of the pole sets a resonant excitation signal having an amplitude of less than approximately 100 mV_(0-pk) for a period exceeding approximately 25 milliseconds, thereby to promote collision-induced dissociation of selected ions. The apparatus includes means for mass
5 analyzing the trapped ions to generate a mass spectrum.

Brief Description of Drawings

The foregoing and other aspects of the invention will become more apparent from the following description of specific embodiments thereof and the accompanying drawings which illustrate, by way of example only and not intending to be limiting, the principles of the invention. In the drawings:

Fig. 1 is a system block diagram of a mass spectrometer in accordance with a first embodiment;

Fig. 2 is a timing diagram showing, in schematic form, the signals applied to a quadrupole rod set in order to inject, trap, isolate, fragment and eject selected ions;

Fig. 3 shows a series of MS, MS² and MS³ spectrums obtained from a calibration peptide using the apparatus shown in Fig. 1;

Fig. 4 shows a series of mass spectrums illustrating the isotopic pattern of peptide fragments vs. resonant excitation frequency;

Fig. 5 is a graph which plots parent and fragment ion intensity for the peptide as a function of resonant excitation frequency;

Fig. 6 shows a series of MS and MS² spectrums obtained from reserpine ions using the apparatus shown in Fig. 1;

Fig. 7 shows high resolution plots of certain portions of the plots shown in Fig. 6;

Fig. 8 is a graph which plots parent and fragment ion intensity of the reserpine ions as a function of resonant excitation amplitude; and

Fig. 9 is a diagram illustrating the measurement of the resolution of fragmentation in the frequency domain.

5 Detailed Description of Illustrative Embodiments

Fig. 1 illustrates a mass spectroscopy apparatus 10 in accordance with a first embodiment. In known manner, the apparatus 10 includes an ion source 12, which may be an electrospray, an ion spray, a corona discharge device or any other known ion source. Ions from the ion source 12 are directed through an aperture 14 in an aperture plate 16. On the other side of the plate 16, there is a curtain gas chamber 18, which is supplied with curtain gas from a source (not shown). The curtain gas can be argon, nitrogen or other inert gas, such as described in U.S. Patent No. 4,861,988, to Cornell Research Foundation Inc., which also discloses a suitable ion spray device. The contents of this patent are incorporated herein by reference.

The ions then pass through an orifice 19 in an orifice plate 20 into a differentially pumped vacuum chamber 21. The ions then pass through aperture 22 in a skimmer plate 24 into a second differentially pumped chamber 26. Typically, the pressure in the differentially pumped chamber 21 is of the order of 1 or 2 Torr and the second differentially pumped chamber 26, often considered to be the first chamber of mass spectrometer, is evacuated to a pressure of about 7 or 8 mTorr.

In the chamber 26, there is a conventional RF-only multipole ion guide Q0. Its function is to cool and focus the ions, and it is assisted by the relatively high gas pressure present in chamber 26. This chamber 26 also serves to provide an interface between the atmospheric pressure ion source 12 and the lower pressure vacuum chambers, thereby serving to remove more of the gas from the ion stream, before further processing.

60370205 . 040502

An interquad aperture IQ1 separates the chamber 26 from a second main vacuum chamber 30. In the second chamber 30, there are RF-only rods labeled ST (short for "stubbies", to indicate rods of short axial extent), which serve as a Brubaker lens. A quadrupole rod set Q1 is located in the vacuum chamber 30, which is evacuated to approximately 1 to 3×10^{-5} Torr. A second quadrupole rod set Q2 is located in a collision cell 32, supplied with collision gas at 34. The collision cell 32 is designed to provide an axial field toward the exit end as taught by Thomson and Jolliffe in U.S. 6,111,250, the entire contents of which are incorporated herein by reference. The cell 32 is within the chamber 30 and includes interquad apertures IQ2, IQ3 at either end, and typically is maintained at a pressure in the range 5×10^{-4} to 10^{-2} Torr, and more preferably to a pressure of 5×10^{-3} to 10^{-2} Torr. Following Q2 is located a third quadrupole rod set Q3, indicated at 35, and an exit lens 40. Opposite rods in Q3 are preferably spaced apart approximately 8.5 mm, although other spacings are contemplated and used in practice. The pressure in the Q3 region is nominally the same as that for Q1, namely 1 to 3×10^{-5} Torr. A detector 76 is provided for detecting ions exiting through the exit lens 40.

Power supplies 37, for RF, 36, for RF/DC, and 38, for RF/DC and auxiliary AC are provided, connected to the quadrupoles Q0, Q1, Q2, and Q3. Q0 is operated as an RF-only multipole ion guide whose function is to cool and focus the ions as taught in US Patent No.4,963,736, the contents of which are incorporated herein by reference. Q1 is a standard resolving RF/DC quadrupole. The RF and DC voltages are chosen to transmit only precursor ions of interest or a range of ions into Q2. Q2 is supplied with collision gas from source 34 to dissociate or fragment precursor ions to produce a 1st generation of fragment ions. Q3 is operated as a modified linear ion trap which, in addition to trapping ions, may also used to both isolate and fragment a chosen ion as described in far greater detail below. Ions are then scanned out of Q3 in a mass dependent manner using an axial ejection technique.

In the illustrated embodiment, ions from ion source 12 are directed into the vacuum chamber 30 where, if desired, a precursor ion m/z (or range of mass-to-charge ratios) may be selected by Q1 through manipulation of the RF+DC voltages applied to the quadrupole rod set as well known in the art. Following precursor ion selection, the ions are accelerated into Q2 by a suitable voltage drop between Q1 and Q2, thereby inducing fragmentation as taught by U.S. Patent Nos. 5,248,875 the contents of which are hereby incorporated by reference. The degree of fragmentation can be controlled in part by the pressure in the collision cell, Q2, and the potential difference between Q1 and Q2. In the illustrated embodiment, a DC voltage drop of approximately 10-12 volts is present between Q1 and Q2.

The 1st generation of fragment ions along with non-dissociated precursor ions are carried into Q3 as a result of their momentum and the ambient pressure gradient between Q2 and Q3. Further dissociation of the precursor ions and/or 1st generation fragments may occur as taught in co-pending U.S.S.N. 09/864,878, filed July 21, 2000 by Hager, the contents of which are incorporated herein by reference, although it should be appreciated that in the illustrated embodiment Q2 does not operate as a trap as taught in the Hager application. However, if desired, a suitable voltage drop, or gain, can be established between Q2 and Q3 so as to minimize the kinetic energy by which the precursor and fragment ions enter Q3, thereby minimizing further dissociation. After a suitable fill time a blocking potential can be applied to Q3 in order to trap the precursor ions and 1st generation fragments in Q3, which functions as a linear ion trap.

Once trapped in Q3, the precursor ions and 1st generation of fragment ions may be mass isolated to select a specific m/z value or m/z range. Then, selected ions may be resonantly excited in the low pressure environment of Q3 as described in greater detail below to produce a 2nd generation of fragment ions (i.e., fragments of fragments) or selected precursor ions may be fragmented. Ions are then mass selectively scanned out of the linear ion trap, thereby yielding an MS^3 or MS^2

spectrum, depending on whether the 1st generation fragments or the precursor ions are dissociated in Q3. It will also be appreciated that the cycle of trapping, isolating, and fragmenting can be carried out one or more times to thereby yield an MS^n spectrum (where $n > 3$).

5 As described in greater detail below, the selectivity or resolution of isolating and fragmenting ions in the low pressure environment of Q3 may be sufficiently high for many purposes. Accordingly, it will be understood that Q1, used for isolating precursor ions, can be omitted if desired, since this activity may be carried out in Q3, albeit not to the same degree of resolution. Similarly, the Q2 collision cell may be
10 omitted since the step of fragmenting ions can occur entirely within the confines of the linear trap, Q3, with much higher resolution than within Q2. Indeed, the linear ion trap suitably coupled to an ion source may be used to generate an MS^2 , MS^3 or higher spectrum.

15 Fig. 2 shows the timing diagrams of the waveforms applied in Q3 in greater detail. In an initial phase 50, the blocking potential on IQ3 is dropped so as to permit the trap to fill for a time preferably in the range of approximately 5-100 ms, with 50 ms being preferred.

Next, an optional cooling phase 52 follows in which the precursor and 1st generation ions are allowed to cool or thermalize for a period of 10 - 150 ms in Q3.

20 The cooling phase is optional, and may be omitted in practice.

This is followed by an ion isolation phase 54, if isolation is desired. Ion isolation in Q3 can be effected by a number of methods, such as the application of suitable RF and DC signals to the quadrupole rods of Q3 in order to isolate a selected ion at the tip of a stability region or a range of ions having an m/z lower than that of
25 the selected ion. In this process, selected m/z ranges are made unstable because their associated a, q values fall outside the normal Mathieu stability diagram. This is the preferred method because the mass resolution of isolation using this technique is

known to be relatively high. In the illustrated system, the frequency of the RF signal remains fixed, with the amplitudes of the RF signal and the DC offset being manipulated (as schematically illustrated by ref. no. 64) to effect radial ejection of unwanted ions. The auxiliary AC voltage component is not active during the isolation phase in the illustrated system. This phase lasts approximately <5 ms.

Alternatively, isolation can be accomplished through resonant ejection techniques which can be employed to radially eject all other ions such as disclosed, inter alia, in WIPO publication No. WO 00/33350 published June 8, 2000 by Douglas et al., the contents of which are incorporated herein by reference. In the Douglas application, the auxiliary AC voltage is controlled to generate a notched broadband excitation waveform spanning a wide frequency range, created by successive sine waves, each with a relatively high amplitude separated by a frequency of 0.5kHz. The notch in the broadband waveform is typically 2 – 10 kHz wide and centered on the secular frequency corresponding to the ion of interest. The isolation phase according to this technique lasts for approximately 4 ms.

Other ion isolation techniques are also contemplated since the particular means is not important, provided sufficient resolution is obtainable. It should be appreciated that isolation via resonant excitation techniques may be acceptable for many purposes because the resolution is relatively high as a result of the ions being trapped in a relatively low pressure environment. Consequently, as elaborated on in greater detail below, the spread or variation in secular frequencies of ions having identical m/z values is relatively low, thus enabling higher discrimination.

The isolation phase 54 is followed by a fragmentation phase 56 in which a selected ion is fragmented. During this phase 56 the auxiliary AC voltage, which is superimposed over the RF voltage used to trap ions in Q3, is applied to one set of pole pairs, in the x or y direction. The auxiliary AC voltage (alternatively referred to as the "resonant excitation signal"), thus creates an auxiliary, dipolar, alternating electric field in Q3 (which is superimposed over the RF electric fields employed to trap ions).

This subjects the trapped ions to an alternating potential whose maximum value is encountered immediately adjacent to the rods.

Application of the auxiliary AC voltage at the resonant frequency of a selected ion causes the amplitude of its oscillation to increase. If the amplitude is greater than the radius of the pole pair, the ion will be radially ejected from Q3 or neutralized by the rods. Alternatively, an energetic ion could collide with a background gas molecule with the energy being converted into sufficient internal energy required to cause the ion to dissociate and produce fragment ions. The inventors have discovered that through suitable manipulation of the excitation voltage and its period of application, it is possible to generate a sufficient number of ion/background gas collisions for CID to occur at a relatively high fragmentation efficiency even in the very low pressure environment of Q3, where the background gas pressure is preferably on the order of 10^{-5} Torr. This was previously thought to be too low of a pressure for this phenomenon to occur for practical use in mass spectroscopy. As an added benefit, the inventors have found that the resolution of fragmentation can be relatively high, about 700 as determined from experimental data discussed below, which is 2-3 times that previously reported in the literature.

In the illustrated embodiment, the resonant excitation signal is a sinusoid having an amplitude that ranges up to approximately 250 millivolt (mV), measured zero to peak (0-pk) and preferably in the range of approximately 10 mV_(0-pk) to approximately 100mV_(0-pk), the latter value being found to be generally sufficient for disassociating most of the more tightly coupled bonds found in biomolecules. In practice, a preset amplitude of approximately 24 - 25 mV_(0-pk) has been found to work well over a wide range of m/z values.

The frequency of the resonant excitation signal f_{aux} (68) is preferably set to equal the fundamental resonant frequency, ω_0 , of the ion selected for fragmentation. ω_0 is unique for each m/z and approximated to a close degree by:

$$\omega_0 = \frac{q_a}{\sqrt{8}} \Omega$$

where Ω is the angular frequency of the trapping RF signal. This approximation is valid for $q_{xy} \leq 0.4$ in an RF-only quadrupole. In the illustrated embodiment Q3 is operated at a q of approximately 0.21 in the x and y planes.

5 The resonant excitation signal is applied for a period exceeding about 25 milliseconds (ms), and preferably at least approximately 50 ms ranging up to 500 ms. In practice, an application period of 50 ms has been found to work well over a wide range of m/z values.

10 Fragmentation efficiency (defined as the sum of all fragment ions divided by the number of initial parent ions) has been found to be in the range of about 70-95% under the preferred operating parameters.

Following fragmentation, the ions are preferably subjected to an additional cooling phase 58 of approximately 10 ms to allow the ions to thermalize. This phrase may be omitted if desired.

15 A mass scan or mass analysis phase 60 follows the cooling phase. Here, ions are axially scanned out of Q3 in a mass dependent manner preferably using an axial ejection technique as generally taught in U.S. Patent No. 6,177,668, the contents of which are incorporated herein by reference. Briefly, the technique disclosed in U.S. Patent No. 6,177,668 relies upon injecting ions into the entrance of a rod set, for
20 example a quadrupole rod set, and trapping the ions at the far end by producing a barrier field at an exit member. An RF field is applied to the rods, at least adjacent to the barrier member, and the RF fields interact in an extraction region adjacent to the exit end of the rod set and the barrier member, to produce a fringing field. Ions in the extraction region are energized to eject, mass selectively, at least some ions of a
25 selected mass-to-charge ratio axially from the rod set and past the barrier field. The ejected ions can then be detected. Various techniques are taught for ejecting the ions

axially, namely scanning an auxiliary AC field applied to the end lens or barrier, scanning the RF voltage applied to the rod set while applying a fixed frequency auxiliary voltage to the end barrier and applying a supplementary AC voltage to the rod set in addition to that on the lens and the RF on the rods.

5 The illustrated embodiment employs a combination of the above techniques. More particularly, the DC blocking potential 65 applied to the exit lens 40 is lowered somewhat, albeit not removed entirely, and caused to ramp over the scanning period. Simultaneously, both the Q3 RF voltage 69 and the Q3 auxiliary AC voltage 70 are ramped. In this phase, the frequency of the auxiliary AC voltage is preferably set to a
10 predetermined frequency ω_{eject} known to effectuate axial ejection. (Every linear ion trap may have a somewhat different frequency for optimal axial ejection based on its exact geometrical configuration.) The simultaneous ramping of the exit barrier, RF and auxiliary AC voltages increases the efficiency of axially ejecting ions, as described in greater detail in co-pending patent application no. _____
15 assigned to the instant assignee.

Some experimental data using the aforementioned apparatus is now discussed with reference to Figs. 3-8. Fig. 3 shows a number of mass spectrums, labeled (a) – (d), each of which relates to a standardized calibration peptide (5 μ l/min, infusion mode). Fig. 3(a) is a high resolution MS spectrum wherein the peptide at m/z 829.5
20 was isolated using resolving RF/DC in Q1 (set at low resolution) and the ion was injected into the Q2 collision cell at low energy to minimize fragmentation. The neutral gas (nitrogen) pressure in the collision cell, Q2, was about 5-10 mTorr. The spectrum (and all other spectrums in Fig. 3) was obtained using the preferred axial ejection scanning technique in Q3 as described above. Fig. 3(b) shows the MS^2
25 spectrum of the peptide as it was driven with relatively high injection energy into the Q2 collision cell. Fig. 3(c) shows the isolation of high mass ions using a low mass cut-off technique in Q3 to remove most ions below a peak of interest at $m/z = 724.5$. Fig. 3(d) is an MS^3 spectrum showing resonant excitation of ions at $m/z = 724.5$. To

produce this spectrum the resonant excitation signal was set to a frequency of 60.37 kHz and an excitation amplitude of 24 mV_(0-pk). The excitation period was 100 ms. The neutral gas pressure in Q3 was 2.7×10^{-5} Torr as measured at the chamber wall. (The Q3 quadrupole was not enclosed in a cell so this pressure is probably accurate to within a factor of 2-3 for the ambient pressure within Q3.) Note the increase in intensity of the peak at $m/z = 706$ and the decrease in intensity of the $m/z = 724.5$ peak in the MS³ spectrum of Fig. 3(d) as compared to the MS² spectrum shown in Fig. 3(b).

Fig. 4 shows high resolution spectrums labeled (a) - (f) of 1st and 2nd generation fragments of the peptide as the excitation frequency is varied. Fig. 4(a) shows an MS² spectrum of 1st generation ions, i.e., wherein the ions are not resonantly excited. Note that the fragmentation resulting from the Q2 collision cell reveals two closely spaced fragment isotopes 102 and 104 at $m/z = 724.5$ and at $m/z = 725.5$. Fig. 4(b) shows the spectrum when the ions are resonantly excited at a frequency of 60.370 kHz (24 mV_(0-pk), excitation period 100 ms). The $m/z = 724.5$ ion has almost completely dissociated and the m/z peak at 706.5 is at its maximum intensity. As the frequency of excitation is decreased, the dissociation of the m/z ion at 724.5 decreases, as shown in Figs. 4(c), 4(d) and 4(e). When the excitation frequency reaches 60.310 kHz, the isotope 104 at $m/z = 725.5$ begins to demonstrate visible signs of dissociation, and is substantially dissociated when the excitation frequency reaches 60.290 kHz, as shown in the spectrum of Fig. 4(f). The system thus allows the user to selectively fragment ions 1 m/z units apart, i.e., the apparatus exhibits a discrimination of at least 1 m/z unit at $m/z = 725$. Given such selectivity, it will be appreciated that a non-fragmented isotope can be used to calibrate the spectrometer. In particular, the m/z value of the non-fragmented isotope can be compared to the m/z value prior to the fragmentation step. Any change in the m/z value can be used to identify and correct for mass drift of the instrument. Comparing the intensities of the non-fragmented isotope can also be used to correct for intensity variation.

Fig. 5 shows the intensity of a parent ion (the peptide fragment at m/z 724.5) and its fragment ion (the 2nd generation peptide fragment at m/z 706.5) as a function of the excitation frequency (24 mV_(0-pk), 100 ms excitation). The full width half maximum value (FWHM) of the parent ion intensity is 77 Hz. This gives a resolution of 784 (60360 Hz/ 77 Hz). The FWHM of the fragment is 87 Hz giving a resolution of 694. The fragmentation efficiency for the 724.5 to 706.5 dissociation is 73%. The overall fragmentation efficiency will be even higher when one considers that not all the fragment ions are $m/z = 706.5$, as can be seen from the spectrum of Fig. 3(d).

Fig. 6 shows mass spectrums, labeled (a) and (b), of reserpine (100 pg/ μ l, 5-10 μ l/min, infusion mode). Fig. 6(a) is a high resolution mass spectrum of reserpine isolated in Q1 (set at low resolution) and injected at low energy into the collision cell Q2 and then into Q3 where the ions were trapped. No excitation was applied for 100 ms. The ions were then scanned out using the aforementioned preferred axial ejection technique. Fig. 6(b) shows an MS² spectrum after the reserpine ions were resonantly excited using a 60.37 kHz, 21 mV_(0-pk) resonant excitation signal over a 100 ms excitation period. The integrated intensity of the m/z 609.23 peak in Fig. 6(a) is 1.75e6 cps while the integrated intensity of the fragment ions in Fig. 6(b) is 1.63e6 cps. This gives a fragmentation efficiency of 93 %. Fig. 7 shows the region from 605 to 615 m/z of the plots in Fig. 5 in greater detail. This shows that only the m/z 609.23 peak was selected for dissociation.

Fig. 8 shows the intensity of reserpine fragments (dissociated from parent ion $m/z = 609.23$) as a function of excitation amplitude, the excitation frequency being set to 60.37 kHz, $q = 0.207$, with neutral gas pressure in Q3 being approximately 2.7×10^{-5} Torr as measured in the chamber. The plots reach a maximum and then begin to decline in intensity as ejection of the ions from the linear ion trap, Q3, begins to become significant.

Although not intending to be bound by the following theory, the inventors believe that the relatively high resolution of fragmentation is achieved because

resonant excitation takes place in a relatively low pressure environment. Calculations have indicated that the spread or variation in ions' secular frequency at this low pressure is approximately 100 Hz. The excitation period is relatively long, at 50-100 ms. As shown in Fig. 9, resolution can be understood from the convolution of two signals 902 and 904 in the frequency domain. Signal 902 represents the excitation pulse. At 100 ms, the excitation pulse has a FWHM spread of about 10 Hz as determined by its Fourier transform. Signal 904 represents the variation in the secular frequency, which has a spread of about 100 Hz. Resolution can be measured by convolving these two signals and measuring the frequency of the product signal divided by FWHM value.

While the illustrated embodiment has been described with a certain degree of particularity for the purposes of description, it will be understood that a number of variations may be made which nevertheless still embody the principles of the invention. For example, the frequency of the resonant excitation signal has been described as equal to the fundamental resonant frequency ω_0 of the ion selected for fragmentation. In alternative embodiments the excitation frequency can be stepped or otherwise varied through a range of frequencies about or near ω_0 over the excitation period. This would ensure that all closely spaced isotopes of an ion are dissociated, if desired. The frequencies could be stepped through discretely, as exemplified by the 20 Hz increments in Fig. 4, or continuously over the excitation period. The range could be preset, for example, $\pm 0.5\%$ of ω_0 or some other pre-determined percentage. Alternatively, the range could be a user-set parameter. The amplitude voltage may be similarly stepped or varied over the excitation period up to a certain point, as exemplified in Fig. 8.

It will also be appreciated that while excitation frequency in preferred embodiments is set at the fundamental resonant frequency ω_0 of the ion selected for fragmentation, a harmonic of the fundamental resonant frequency could be used in the

alternative to resonantly excite the selected ion. In this case, the excitation signal may require a higher amplitude or longer excitation period.

In the illustrated embodiment the auxiliary AC excitation signal has been described as being applied to one of the pole pairs constituting the trap. It will be understood that the excitation signal may be applied to both pole pairs, thus subjecting the trapped ions to an auxiliary oscillating quadrupolar potential. It will also be understood that the excitation signal need not be applied to the rods of the linear ion trap itself. Rather, additional rods or other types of structures can be employed to subject the trapped ions to an alternating dipolar, quadrupolar or higher order potential field in order to resonantly excite selected ions.

Furthermore, while the illustrated embodiment has disclosed the low pressure fragmentation as being conducted within the confines of a linear (2-D) trap, in theory there is no reason why the fragmentation cannot be conducted within a quadrupole (3-D) ion trap. In practice, however, it is difficult to construct a quadrupole (3-D) ion trap capable of operating at ambient pressures on the order of 10^{-5} Torr. This is because such traps typically have a relatively small volume but must have sufficient inert gas therein to slow down ions injected into the trap before the RF/DC fields can perform its trapping function. With 3-D traps, ions are injected typically through the ring element. The RF applied to the ring element becomes a barrier field that ions must overcome. So, ions must be energetic to overcome this barrier. The high pressure in the 3-D trap is required to cool the energetic ions. With too low a pressure, too few ions are damped and held in the trap. Too high a pressure and the injected ions may be lost due to collisional scattering. Such traps thus typically operate at ambient pressures on the order of 10^{-3} Torr, which limits the obtainable isolation and fragmentation resolutions. On the other hand, the 2-D linear ion trap such as Q3 has an elongated length which provides sufficient axial distance for the ions to collide with a smaller amount of the background gas needed to provide the necessary damping effect prior to trapping. More particularly, ions are injected along

the length of the rods of a 2-D trap. During injection, there is no barrier – or the DC on the entrance barrier element is small such that the ions are not required to be too energetic. Nevertheless, the ions have some energy that requires axial distance for collisional cooling. During the fill period, ions traveling along the length and reflected back, due to the exit barrier element, have lost considerable energy. The small amount of DC on the entrance barrier element is sufficient to reflect these ions and prevent them from exiting at the entrance. Once trapping is achieved, resonant excitation can be applied to the thermalized ions to induce either dissociation or ejection as described above.

It will also be understood that a variety of mechanisms can be used for the mass scanning phase after ions are fragmented in the low pressure environment. For example, another mass resolving quadrupole could be installed after the low pressure fragmentation trap such as Q3. Similarly, another 2-D or 3-D linear trap could be installed after Q3. Alternatively, the low pressure fragmentation trap could be coupled to a time of flight (TOF) device in order to obtain a mass spectrum.

Finally, it should be understood that the background gas pressures, excitation amplitudes and excitation periods discussed herein with reference to the preferred embodiments are illustrative only and may be varied outside of the disclosed ranges without a noticeable decrease in performance as measured by the selectivity or resolution of fragmentation. None of the embodiments or operating ranges disclosed herein is intended to signify any absolute limits to the practice of the invention and the applicant intends to claim such operating parameters as broadly as permitted by the prior art. Those skilled in the art will appreciate that numerous other modifications and variations may be made to the embodiments disclosed herein without departing from the spirit of the invention.

Claims

We claim:

1. A method of fragmenting ions, comprising:

5 trapping ions in an ion trap, the trap being disposed in an environment in which a background gas is present at a pressure of less than approximately 9×10^{-5} Torr; and

10 resonantly exciting selected trapped ions by subjecting them to an alternating potential having a maximum amplitude of less than approximately 250 mV_(0-pk) for an excitation period exceeding approximately 25 milliseconds, to thereby promote collision-induced dissociation of at least a portion of the trapped ions.

2. A method according to claim 1, wherein the pressure is in the range of approximately 1×10^{-5} Torr and approximately 9×10^{-5} Torr.

3. A method according to claim 1, wherein the excitation period is in the range of approximately 50 milliseconds to approximately 500 milliseconds.

4. A method according to claim 3, wherein the excitation period is in the range of approximately 50 to 150 milliseconds.

5. A method according to claim 1, wherein the amplitude of the alternating potential is in the range of approximately 10 mV_(0-pk) to approximately 100 mV_(0-pk).

6. A method according to claim 5, wherein the amplitude of the auxiliary alternating potential is approximately 24 to 25 mV_(0-pk).

7. A method according to claim 1, wherein the alternating potential has a frequency component substantially equal to a fundamental resonant frequency of a

selected ion, and the maximum amplitude of said component is less than approximately $250 \text{ mV}_{(0-pk)}$.

8. A method according to claim 7, wherein the background gas pressure is in the
5 range of approximately 1×10^{-5} Torr and approximately 9×10^{-5} Torr.

9. A method according to claim 7, wherein the excitation period is in the range of approximately 50 milliseconds to approximately 500 milliseconds.

10 10. A method according to claim 9, wherein the excitation period is in the range of approximately 50 to approximately 150 milliseconds.

11. A method according to claim 7, wherein the amplitude of said component is in the range of approximately $10 \text{ mV}_{(0-pk)}$ to approximately $100 \text{ mV}_{(0-pk)}$.

12. A method according to claim 11, wherein the amplitude of said component is approximately 24 to $25 \text{ mV}_{(0-pk)}$.

13. A method of fragmenting ions, comprising:

trapping ions in an ion trap by subjecting the ions to an RF alternating potential, the trap being disposed in an environment in which a background gas is present at a pressure of less than approximately 9×10^{-5} Torr;

resonantly exciting trapped ions of a selected m/z value by applying to at least one set of poles straddling the trapped ions an auxiliary alternating excitation signal
25 having an amplitude of less than approximately $250 \text{ mV}_{(0-pk)}$ for a period exceeding approximately 25 milliseconds, to thereby promote collision-induced dissociation of the selected ions.

14. A method according to claim 13, wherein the excitation signal has a frequency substantially equal to a fundamental resonant frequency of the selected ions or a harmonic thereof.

5 15. A method according to claim 14, wherein the frequency of the excitation signal is varied through a pre-determined range encompassing the fundamental resonant frequency of the selected ions or a harmonic thereof.

16. A method according to claim 13, wherein the ion trap is a linear ion trap
10 comprising two pole sets, the excitation signal being applied to only one pole set.

17. A method according to claim 15, wherein the background gas pressure is on the order of 10^{-5} Torr.

18. A method according to claim 17, wherein the amplitude of the excitation
15 signal is in the range of approximately 10 mV_(0-pk) to approximately 100 mV_(0-pk).

19. A method according to claim 18, wherein the excitation period is in the range of approximately 50 to 150 milliseconds.

20. A method according to claim 18, wherein the frequency of the excitation
20 signal is varied through a pre-determined range encompassing the fundamental resonant frequency of the selected ions or a harmonic thereof

21. A method according to claim 13, wherein the ion trap is a linear ion trap
25 comprising two pole sets, the excitation signal being applied to both pole sets.

22. A method according to claim 21, wherein the background gas pressure is on the order of 10^{-5} Torr.

23. A method according to claim 22, wherein the amplitude of the excitation signal is in the range of approximately 10 mV_(0-pk) to approximately 100 mV_(0-pk).

24. A method according to claim 23, wherein the excitation period is in the range of approximately 50 to 150 milliseconds.

25. A method according to claim 18, wherein the frequency of the excitation signal is varied through a pre-determined range encompassing the fundamental resonant frequency of the selected ions or a harmonic thereof.

26. A method according to claim 13, including mass analyzing the fragmented ions to obtain a mass spectrum.

27. A method of mass analyzing a stream of ions, the method comprising:

(a) subjecting a stream of ions to a first mass filter step, to select precursor ions having a mass-to-charge ratio in a first desired range;

(b) trapping the precursor ions in a linear ion trap by subjecting the ions to an RF alternating potential;

(c) resonantly exciting selected trapped precursor ions by subjecting them to an auxiliary alternating potential having a maximum amplitude of 250 mV_(0-pk) for an excitation period exceeding approximately 25 milliseconds under a background gas pressure of less than 9×10^{-5} Torr, to thereby generate fragment ions; and

(d) mass analyzing the trapped ions to generate a mass spectrum.

28. A method according to claim 27, including, before step (d):
subjecting the trapped ions to a second mass filter step in order to isolate ions having an m/z value(s) in a second desired range, and
repeating step (c).

29. A method according to claim 27, wherein the pressure is on the order of 10^{-5} Torr.

30. A method according to claim 27, wherein the excitation period is in the range of approximately 50 to approximately 150 milliseconds.

31. A method according to claim 27, wherein the amplitude of the auxiliary alternating potential is in the range of approximately 10 mV_(0-pk) to approximately 100 mV_(0-pk).

32. A method of mass analyzing a stream of ions, the method comprising:

(a) subjecting a stream of ions to a first mass filter step, to select precursor ions having a mass-to-charge ratio in a first desired range;

(b) fragmenting the precursor ions in a collision cell, to thereby produce a first generation of fragment ions;

(c) trapping any un-dissociated precursor ions and the first generation of fragment ions in a linear ion trap by subjecting the ions to an RF alternating potential, and:

(i) subjecting the trapped ions to a second mass filter step, to thereby isolate ions having an m/z value(s) in a second desired range,

(ii) resonantly exciting selected first generation ions by subjecting them to an auxiliary alternating potential having a maximum amplitude of 250 mV_(0-pk) for an excitation period exceeding approximately 25 milliseconds under a background gas pressure of less than 9×10^{-5} Torr, to thereby generate a second generation of fragment ions, and

(d) mass analyzing the trapped ions to generate a mass spectrum.

33. A method according to claim 32, including repeating steps (c)(i) and (c)(ii) to thereby generate subsequent generations of fragment ions.

34. A method according to claim 32, wherein the pressure is on the order of 10^{-5} Torr.

35. A method according to claim 32, wherein the excitation period is in the range of approximately 50 to approximately 150 milliseconds.

36. A method according to claim 32, wherein the amplitude of the auxiliary alternating potential is in the range of approximately 10 mV_(0-pk) to approximately 100 mV_(0-pk).

37. A method of mass analyzing a stream of ions, the method comprising:

(a) subjecting a stream of ions to a first mass filter step, to select precursor ions having a mass-to-charge ratio in a first desired range;

(b) fragmenting the precursor ions in a collision cell, to thereby produce a first generation of fragment ions;

(c) trapping any un-dissociated precursor ions and the first generation of fragment ions in a linear ion trap, and:

(i) subjecting the trapped ions to a second mass filter step, to thereby isolate ions having an m/z value(s) in a second desired range,

(ii) resonantly exciting trapped ions of a selected m/z value or values by applying to at least one set of poles straddling the trapped ions an alternating excitation signal having an amplitude of less than approximately 250 mV_(0-pk) for a period exceeding approximately 25 milliseconds, to thereby promote collision-induced dissociation of the selected ions, and

(d) mass analyzing the trapped ions to generate a mass spectrum.

38. A mass spectrometer, comprising:

a linear ion trap, including at least one set of poles straddling at least a portion of trapped ions;

means for providing a background gas in said trap at a pressure of less than approximately 9×10^{-5} Torr;

means for introducing ions into said trap;

an alternating voltage source for applying to said at least one of set of poles a resonant excitation signal having an amplitude of less than approximately 250 mV_(0-pk) for a period exceeding approximately 25 milliseconds in order to promote collision-induced dissociation of selected ions; and

means for mass analyzing the trapped ions to generate a mass spectrum.

39. The mass spectrometer according to Claim 38, wherein said at least one set of poles is not used to trap said ions in said trap.

40. A triple quadrupole mass spectrometer, comprising:

first, second and third quadrupole rod sets arranged in linear formation;

said first quadrupole rod set being configured for isolating selected ions;

said second quadrupole rod set being enclosed within a collision chamber

having a background gas pressure significantly higher than the first and second rods sets;

said third quadrupole rod set being configured as a linear ion trap, including at least one set of poles straddling at least a portion of trapped ions, the trap having a background gas pressure of less than approximately 9×10^{-5} Torr;

an alternating voltage source for applying to said at least one set of poles a resonant excitation signal having an amplitude of less than approximately 250 mV_(0-pk) for a period exceeding approximately 25 milliseconds in order to promote collision-induced dissociation of selected ions; and

means for mass analyzing the trapped ions to generate a mass spectrum.

41. The mass spectrometer according to Claim 40, wherein said at least one set of poles is not used to trap said ions in said third quadropole rod set.

205040-5020/EO9
50370205-040502

Abstract

In the field of mass spectrometry, a method and apparatus for fragmenting ions with a relatively high degree of resolution. The technique includes trapping the ions in an ion trap, preferably a linear ion trap, in which the background or neutral gas pressure is preferably on the order of 10^{-5} Torr. The trapped ions are resonantly excited for a relatively extended period of time, e.g., exceeding 50 ms, at relatively low excitation levels, e.g., less than 150 mV (0-pk). The technique allows selective dissociation of ions with a discrimination of at least about 1 m/z at a relatively high (>70%) fragmentation efficiency. Apparatus and related methods are also disclosed for obtaining MS, MS², MS³ and MSⁿ spectrums at relatively high resolutions using the low pressure fragmentation technique.

205040-5020/209

205040-50204E09

37

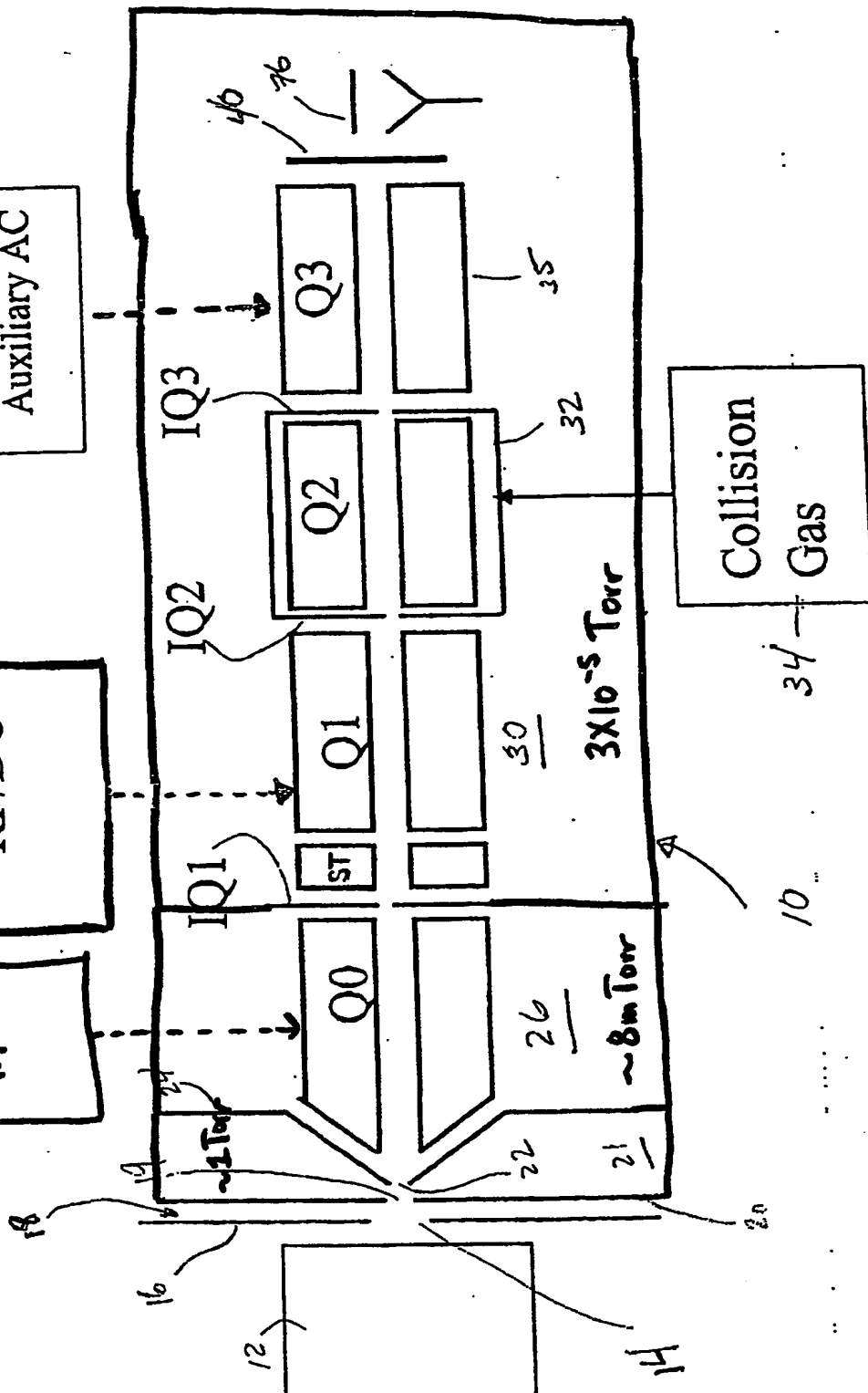
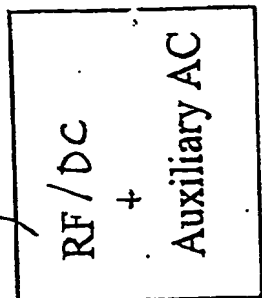
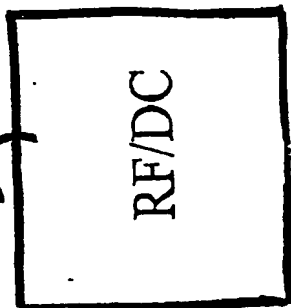
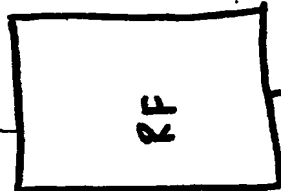


Figure 1

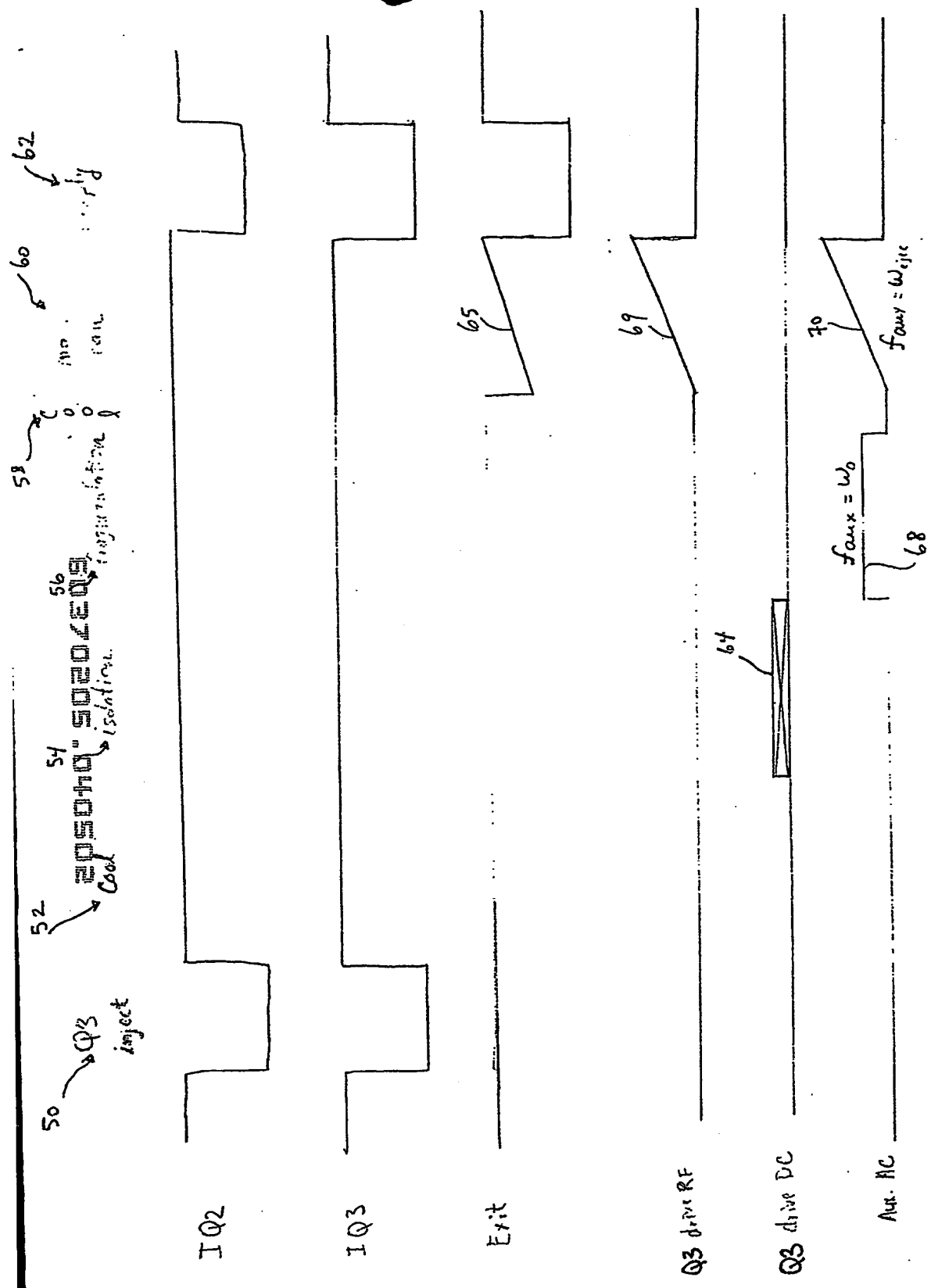


Fig. 2

205040-50202E09 60370205-040502

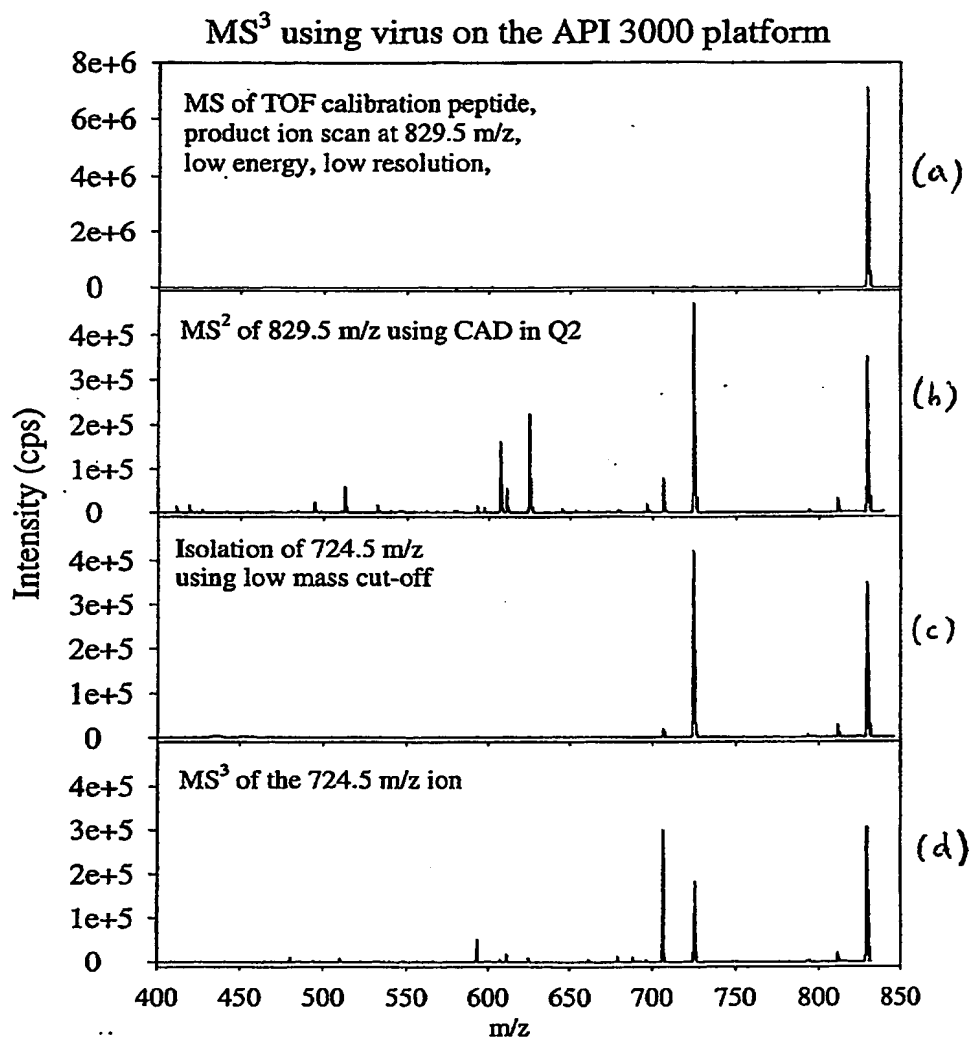


Figure 3

60370205-040502

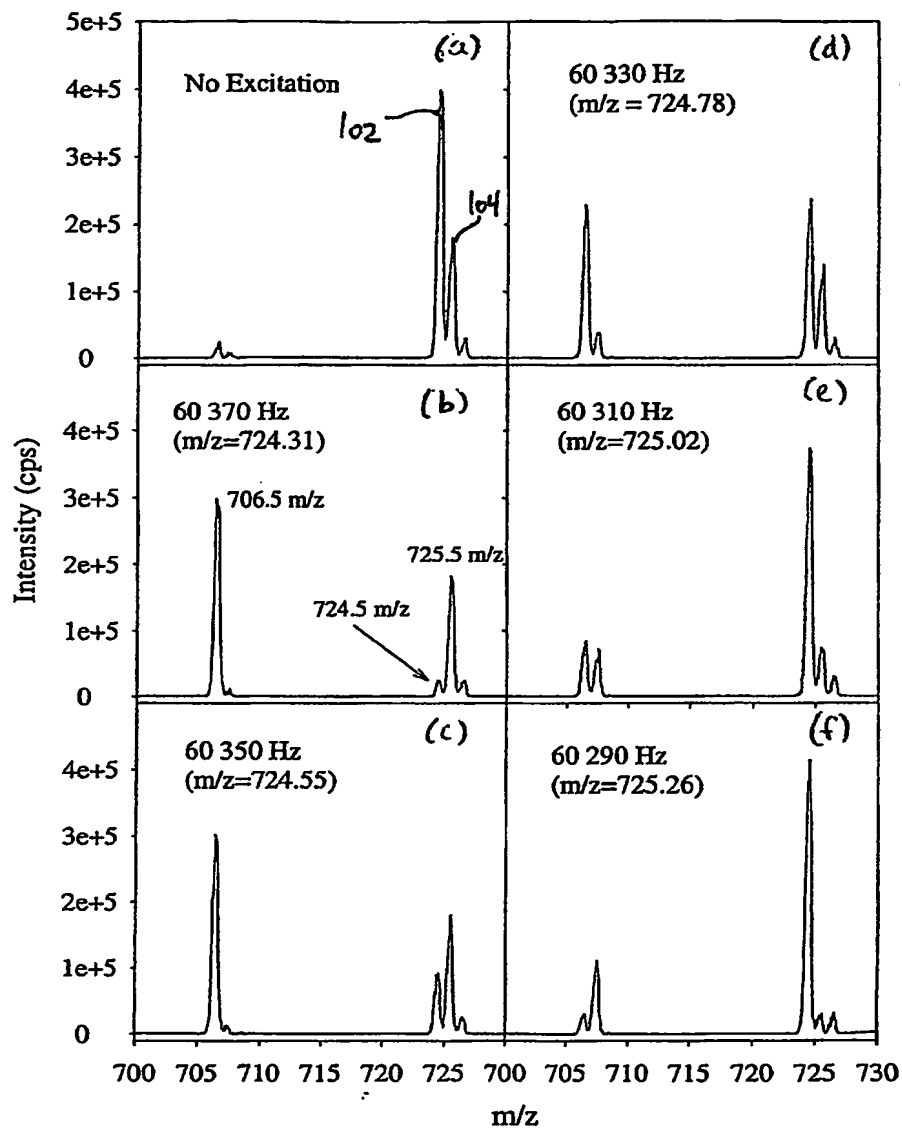


Fig. 4

205040" 50202E09

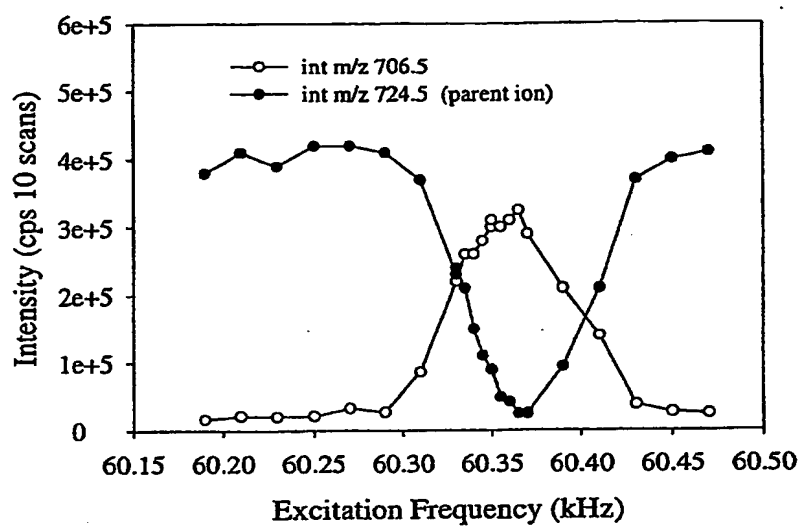


Fig. 5

205040-50207E09

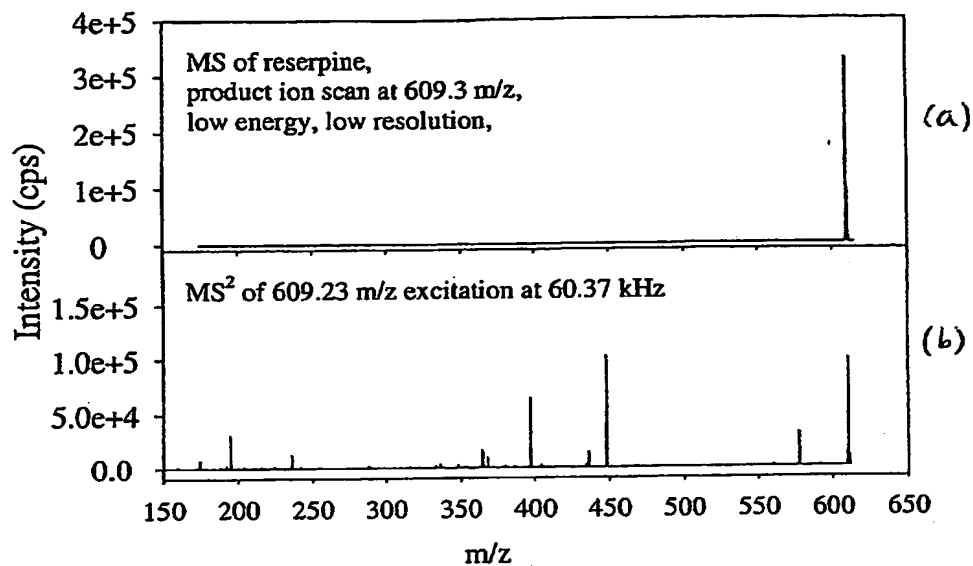


Fig. 6

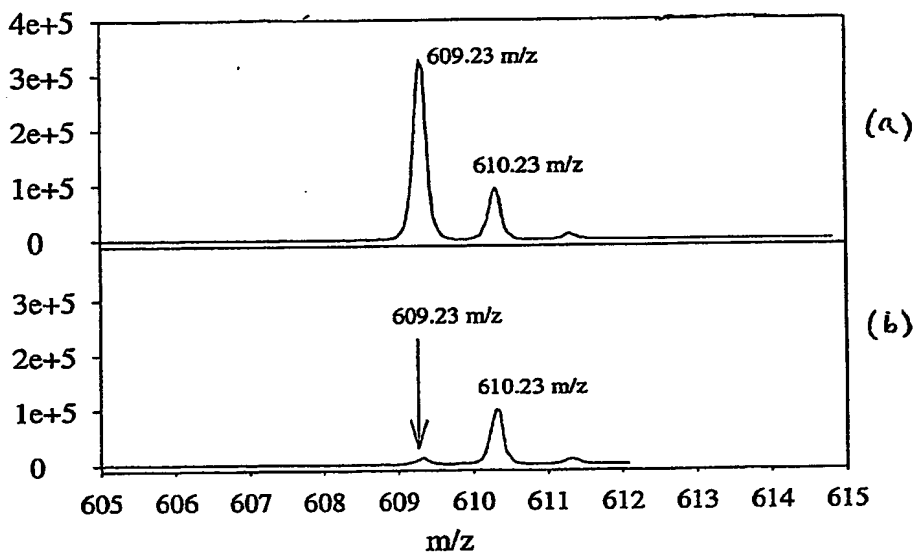


Fig. 7

205040-5020409
60370205-040502

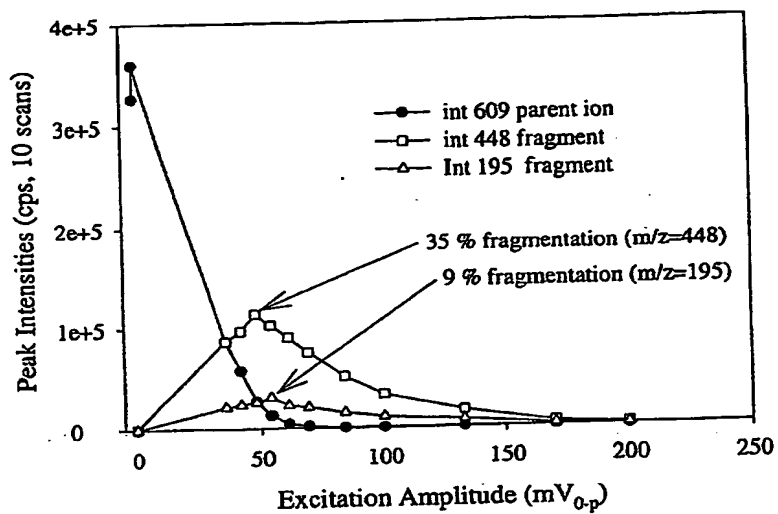


Fig. 8

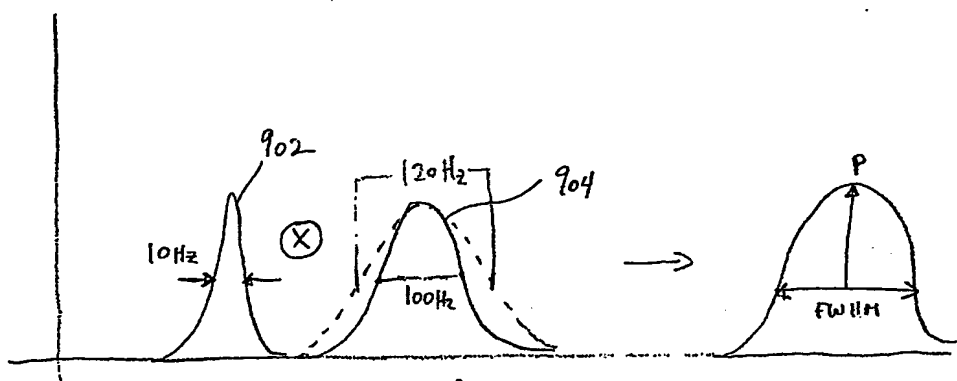


Fig. 9

**This Page is Inserted by IFW Indexing and Scanning
Operations and is not part of the Official Record**

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ BLACK BORDERS
- ☐ IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
- ☐ FADED TEXT OR DRAWING
- ☒ BLURRED OR ILLEGIBLE TEXT OR DRAWING
- ☐ SKEWED/SLANTED IMAGES
- ☒ COLOR OR BLACK AND WHITE PHOTOGRAPHS
- ☐ GRAY SCALE DOCUMENTS
- ☐ LINES OR MARKS ON ORIGINAL DOCUMENT
- ☐ REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
- ☐ OTHER: _____

IMAGES ARE BEST AVAILABLE COPY.

As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.